

01/04/01
JC603 U.S. PTO

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PTO SB-05 (11-99)

Under the Paperwork Reduction Project...

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new applications and applications under 37 CFR 1.53(b)

Information Disclosed As	1875-2300
First Inventor	James Egan
Title	High Density Metal Coating Using Variation Stripping Fabrication and Process of Phase Transformation Interconnect Process
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning filing of patent applications.

ADDRESS TO:

Assistant Commissioner for Patents
Box 600, Washington, DC 20540

1. ☒ Fee Transmittal Form (e.g., PTO SB-17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 15]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fee sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings *(if filed)*
- Detailed Description
- Claims
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 23]
[Total Pages 2]
5. Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17, completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
appendix
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on
i. ☐ CD-ROM or CD-R (2 copies), or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

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ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement (IDS) (PTO-1449) ☐ Copies of IDS
Citations
13. ☐ Preliminary Amendment
14. ☒ Two Return Receipt Postcards (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (502.030) Applicant must
attach form PTO SB-35 or its equivalent
17. ☒ Other Authorization under 37 CFR § 1.136(a)(3)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No. _____
Prior application information Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

NAME	STEVEN KESSLER, GOLDSTEIN & FOX PLLC				
Address of Law	PATENT TRADEMARK OFFICE				
ADDRESS	100 New York Avenue NW				
CITY	Washington	STATE	DC	ZIP CODE	20540
COUNTRY	USA	TELEPHONE	(202) 771-1421	FAX	(202) 771-2541

NAME (Print Name)	Donald H. Feather	Signature	[Signature]	SSN	876
SIGNATURE	[Signature]	Date	1/4/01		

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	To be assigned
Filing Date	Herewith on 1/4/01
First Named Inventor	Liming Tsau
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	1875.0230000

TOTAL AMOUNT OF PAYMENT (\$) 750.00

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 19-0036
 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.C.

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.116 and 1.117

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed

☒ Check ☐ Credit card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036

FEE CALCULATION

I. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 710.00

II. EXTRA CLAIM FEES

Total Claims	Extra	Fee from below	Fee Paid
18	20** = 0	X	
Indep. Claims	3 - 3** = 0	X	
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	15	203	5	Claims in excess of 15
104	80	204	40	Independent claims in excess of 3
104	210	204	105	Multiple dependent claims
105	80	205	40	**Reissue independent claims over 15
105	15	205	5	**Reissue claims in excess of 15 and over 10 dependent

SUBTOTAL (2) \$ 22.00

**Number previously paid, regardless of Reissues, examination

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
107	45	207	25	Surcharge - late filing fee or oath	
109	135	209	65	Non-English specification	
117	2,520*	217	2,520*	For filing a request for ex parte reexamination	
112	920*	212	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	213	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	690	217	445	Extension for reply within third month	
118	1,090	218	695	Extension for reply within fourth month	
128	1,690	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	238	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	222	130	Petitions to the Commissioner	
123	130	223	130	Petitions related to provisional applications	
126	160	226	160	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection 37 CFR 1.129 a-1	
149	710	249	355	For each additional invention to be examined 37 CFR 1.129 b-1	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	269	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$ 40.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Donald J. Featherstone	Registration No.	33388	Telephone	202-371-2600
Signature	Donald J. Featherstone	Date	1/4/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Jc675 U.S. PTO
09/753664
01/04/01

In re application of:

Liming Tsau

Appl. No. To be assigned

Filed: Herewith on January 4, 2001

For: **High Density Metal Capacitor
Using Via Etch Stopping Layer as
Field Dielectric in Dual-
Damascene Interconnect Process**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1875.0230000

**Authorization to Treat a Reply as Incorporating an Extension of Time
under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Donald J. Featherstone
Attorney for Applicants
Registration No. 33,876

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